

FORM PTO-1390 (REV 1-98)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 81839.0107
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>				U.S. APPLICATION NUMBER (if known, see 37 C.F.R. 1.5) <b>10/009910</b> Not assigned
INTERNATIONAL APPLICATION NO. PCT/JP01/03101	INTERNATIONAL FILING DATE 10 April 2001	PRIORITY DATE CLAIMED 14 April 2000		
TITLE OF INVENTION SILICON WAFER, SILICON EPITAXIAL WAFER AND ANNEALED WAFER, AND METHOD FOR PRODUCING THE SAME				
APPLICANT(S) FOR DO/EO/US Makoto IIDA and Masanori KIMURA				
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</li> <li>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> </li> <li>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> </li> <li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> <p><b>Items 11. to 16. below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.</li> <li>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment. <ul style="list-style-type: none"> <li><input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> </ul> </li> <li>14. <input type="checkbox"/> A substitute specification.</li> <li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>16. <input type="checkbox"/> Other items or information:</li> </ol>				

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) <b>10/009910</b>	INTERNATIONAL APPLICATION NUMBER PCT/JP01/03101	ATTORNEY'S DOCKET NUMBER 81839.0107			
17. <input checked="" type="checkbox"/> The following fees are submitted:		CALCULATIONS PTO USE ONLY			
<b>BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5)):</b>					
Neither international preliminary examination fee (37 C.F.R. 1.482) nor international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....\$[1040]					
International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....\$[890]					
International preliminary examination fee (37 C.F.R. 1.482) not paid to USPTO but international search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO .....\$[740]					
International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....\$[710]					
International preliminary examination fee (37 C.F.R. 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4).....\$[100]					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		\$ 890.00			
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 C.F.R. 1.492(e)).		<input type="checkbox"/> 20 <input type="checkbox"/> 30    \$ 0			
CLAIMS	NUMBER FILED	NUMBER ALLOWED	NUMBER EXTRA	RATE	
Total claims	18	20	0	X \$18.00	0
Independent claims	6	3	3	X \$84.00	252.00
<b>MULTIPLE DEPENDENT CLAIM(S) (if applicable)</b>				X \$280.00	\$ 0
<b>TOTAL OF ABOVE CALCULATIONS =</b>					1142.00
<input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. § 1.27. The fees indicated above are reduced by 1/2.					0
<b>SUBTOTAL =</b>					1142.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 C.F.R. 1.492(f)).		<input type="checkbox"/> 20 <input type="checkbox"/> +			\$ 0
<b>TOTAL NATIONAL FEE =</b>					0
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property +					\$ 40
<b>TOTAL FEES ENCLOSED =</b>					1182.00
\$		Amt. Refunded	\$		
		Amt. charged			
a. <input checked="" type="checkbox"/> Checks in the amounts of <u>\$1142.00</u> and <u>40.00</u> to cover the above fees are enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. 50-1314 in the amount of <u>0</u> to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1314. A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
<input type="checkbox"/> Customer Number <b>000026021</b>					
HOGAN & HARTSON L.L.P. 500 South Grand Avenue, Suite 1900 Los Angeles, California 90071 Phone: 213-337-6700 Fax: 213-337-6701					
<b>26021</b> PATENT TRADEMARK OFFICE					
SIGNATURE Lawrence J. McClure REG.NO. 44,228 EL 713 632 036 US December 12, 2001					

Transmittal Letter to the United States Designated Office (DO/US)—Entry Into National Stage under 35 U.S.C. 371—PTO 1390 (13-7)

10/009910

JC14 Rec'd PTO

12 DEC 2001

PATENT

Attorney Docket No: 81839.0107

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Makoto IIDA et al.

Serial No: Not assigned

Filed: December 12, 2001

For: SILICON WAFER, SILICON EPITAXIAL WAFER AND  
ANNEALED WAFER, AND METHOD FOR PRODUCING  
THE SAME

Art Unit: Not assigned

Examiner: Not assigned

CERTIFICATE OF MAILING VIA U.S. EXPRESS MAIL

"Express Mail" Mailing Label No. EL 713 632 036 US

Date of Deposit: December 12, 2001

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

I hereby certify that

- two copies of a letter of transmittal
- check in amount of \$ 1142.00 as filing fee
- patent application (30 page(s) of specification; 18 claim(s); 1 page(s) of abstract)
- executed Declaration and Power of Attorney
- assignment of the invention to SHIN-ETSU HANDOTAI CO., LTD.
- Information Disclosure Statement with 5 references
- return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service with sufficient postage under 37 C.F.R. § 1.10 on the date indicated above and are addressed to:

Box PCT  
Commissioner for Patents  
Washington, D.C. 20231.

Date: December 12, 2001

Hogan & Hartson, LLP  
500 South Grand Avenue, Suite 1900  
Los Angeles, California 90071  
Telephone: 213-337-6700  
Facsimile: 213-337-6701

Emily Cruz

Name of person mailing papers

Signature

10/009910

13 Rec'd PCT/PTO 12 DEC 2001

#3

PATENT  
81839.0107

Express Mail Label No. EL 713 632 036 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Makoto IIDA et al.

Serial No: Not assigned

Filed: December 12, 2001

For: SILICON WAFER, SILICON EPITAXIAL  
WAFER AND ANNEALED WAFER, AND  
METHOD FOR PRODUCING THE SAME

Art Unit: Not assigned

Examiner: Not assigned

**TRANSMITTAL OF INFORMATION DISCLOSURE  
STATEMENT**

Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

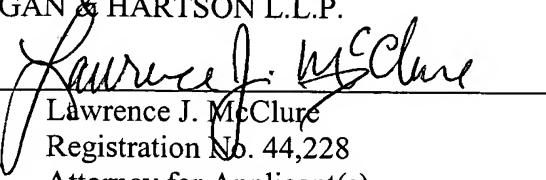
The information disclosure statement submitted herewith is being filed concurrently with the subject application [37 C.F.R. § 1.97(b)] and contains items of information cited in the parent application No. PCT/JP01/03101.

If it should be determined that for any reason either an insufficient or excessive fee has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. A copy of this paper is enclosed.

Respectfully submitted,

HOGAN & HARTSON L.L.P.

Date: December 12, 2001

By:   
Lawrence J. McClure  
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